



IAPD Report

Jahangir Ali Sultan

CRD# 4188015

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 7
Registration and Employment History	9 - 11
Disclosure Information	12

i When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Jahangir Ali Sultan (CRD# 4188015)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	08/20/2024
B	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	08/20/2024
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/20/2024
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	08/20/2024
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	AVANTAX ADVISORY SERVICES	104556	Dallas, TX	03/05/2019 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	DALLAS, TX	03/05/2019 - 09/05/2025
B	NYLIFE SECURITIES LLC	5167	FRISCO, TX	05/22/2018 - 02/12/2019

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**



Report Summary

The following types of events are disclosed about this representative:

Type	Count
Financial	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 5

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/20/2024
B FINRA	General Securities Representative	Approved	08/20/2024
B FINRA	General Securities Sales Supervisor	Approved	08/20/2024
B FINRA	Operations Professional	Approved	08/20/2024
B FINRA	Registered Options Principal	Approved	08/20/2024
B Texas	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
PLANO, TX

CETERA ADVISOR NETWORKS LLC
3200 OLYMPUS BLVD
STE 100
DALLAS, TX 75019

CETERA ADVISOR NETWORKS LLC
3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019

Employment 2 of 5

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 3200 OLYMPUS BLVD.
 SUITE 100
 DALLAS, TX 75019

CETERA INVESTMENT ADVISERS LLC
 PLANO, TX

Employment 3 of 5

Firm Name: **CETERA ADVISORS LLC**
 Main Address: 5299 DTC BLVD #800
 GREENWOOD VILLAGE, CO 80111
 Firm ID#: 10299

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/20/2024
B FINRA	General Securities Representative	Approved	08/20/2024
B FINRA	General Securities Sales Supervisor	Approved	08/20/2024
B FINRA	Operations Professional	Approved	08/20/2024
B FINRA	Registered Options Principal	Approved	08/20/2024

Branch Office Locations

CETERA ADVISORS LLC
 3200 OLYMPUS BLVD
 STE 100
 DALLAS, TX 75019

CETERA ADVISORS LLC
 PLANO, TX

Employment 4 of 5

Firm Name: **CETERA FINANCIAL SPECIALISTS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE #650
 SCHAUMBURG, IL 60173
 Firm ID#: 10358



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/20/2024
B FINRA	General Securities Representative	Approved	08/20/2024
B FINRA	General Securities Sales Supervisor	Approved	08/20/2024
B FINRA	Operations Professional	Approved	08/20/2024
B FINRA	Registered Options Principal	Approved	08/20/2024

Branch Office Locations

PLANO, TX

3200 OLYMPUS BLVD
STE 100
DALLAS, TX 75019

Employment 5 of 5

Firm Name: **CETERA INVESTMENT SERVICES LLC**
 Main Address: 400 FIRST ST. S. SUITE 300
 ST. CLOUD, MN 56301
 Firm ID#: 15340

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/20/2024
B FINRA	General Securities Representative	Approved	08/20/2024
B FINRA	General Securities Sales Supervisor	Approved	08/20/2024
B FINRA	Operations Professional	Approved	08/20/2024
B FINRA	Registered Options Principal	Approved	08/20/2024

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
PLANO, TX

CETERA INVESTMENT SERVICES LLC
3200 OLYMPUS BLVD
STE 100
DALLAS, TX 75019



Qualifications







Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	06/24/2011
 General Securities Principal Examination (S24)	Series 24	03/24/2010
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/23/2005
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/30/2005

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/18/2000

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	08/08/2013
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/2000



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/05/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Dallas, TX
B	03/05/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	DALLAS, TX
B	05/22/2018 - 02/12/2019	NYLIFE SECURITIES LLC	CRD# 5167	FRISCO, TX
IA	01/23/2017 - 03/08/2018	SCOTTRADE INVESTMENT MANAGEMENT	CRD# 169988	SAINT LOUIS, MO
B	01/23/2017 - 03/08/2018	SCOTTRADE, INC.	CRD# 8206	WEST HARTFORD, CT
IA	08/27/2014 - 08/05/2016	STRATEGIC ADVISERS, INC.	CRD# 104555	WEST HARTFORD, CT
B	08/11/2014 - 08/02/2016	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	WEST HARTFORD, CT
IA	08/09/2013 - 07/21/2014	MORGAN STANLEY	CRD# 149777	DALLAS, TX
B	11/23/2012 - 07/21/2014	MORGAN STANLEY	CRD# 149777	DALLAS, TX
B	02/08/2010 - 11/26/2012	TD AMERITRADE, INC.	CRD# 7870	FORT WORTH, TX
B	07/28/2009 - 02/01/2010	1ST GLOBAL CAPITAL CORP.	CRD# 30349	DALLAS, TX
B	07/19/2000 - 08/04/2008	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	WESTLAKE, TX

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2024 - Present	CETERA ADVISORS LLC	EMPLOYEE	Y	GREENWOOD VILLAGE, CO, United States
08/2024 - Present	CETERA FINANCIAL SPECIALISTS LLC	EMPLOYEE	Y	SCHAUMBURG, IL, United States
08/2024 - Present	CETERA INVESTMENT SERVICES LLC	EMPLOYEE	Y	SAINT CLOUD, MN, United States
08/2024 - Present	CETERA WEALTH SERVICES, LLC	EMPLOYEE	Y	EL SEGUNDO, CA, United States
02/2019 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Dallas, TX, United States
02/2019 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Dallas, TX, United States
02/2019 - 11/2022	Avantax Insurance Agency, LLC	Insurance Agent	N	Dallas, TX, United States
05/2018 - 02/2019	NYLife Securities LLC	Registered Representative	Y	Dallas, TX, United States
04/2018 - 02/2019	New York Life Insurance Company	Agent	Y	Dallas, TX, United States
01/2017 - 03/2018	SCOTTRADE, INC.	BRANCH MANAGER	Y	HARTFORD, CT, United States
10/2016 - 01/2017	Unemployed	Unemployed	N	West Hartford, CT, United States
08/2014 - 10/2016	FIDELITY INVESTMENTS	BRANCH SERVICE MANAGER	Y	WEST HARTFORD, CT, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1)Avantax affiliated insurance agency; Agent; Equity Indexed Annuity; IR; 5; 02/11/2019; 3200 Olympus Blvd. Coppell TX 75019; Sale of insurance products through Avantax Insurance Services and/or Avantax Insurance Agency, including EIAs.

2) NAME OF OTHER BUSINESS: JAHANGIR ALI SULTAN;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: RENTAL PROPERTY;
START DATE: 11/2025;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 1;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: PUT RENTAL ON AIR BNB AND FURNISHED.COM;

3) NAME OF OTHER BUSINESS: NOTARY;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: NOTARY SERVICES;
START DATE: 1/2026;
POSITION/TITLE/RELATIONSHIP: NOTARY PUBLIC;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: PROVIDE NOTARY SERVICES;



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Financial	1

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	10/16/2017
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	10/16/2017
If a compromise with creditor, provide:	
Name of Creditor:	Pacific Union Financial
Original Amount Owed:	\$359,228.00
Terms Reached with Creditor:	Short Sale for the amount of \$318,000.



End of Report

This page is intentionally left blank.